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| Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) | | | | Application Number | 10/699,314 |
| | | | | Filing Date | 10/31/2003 |
| | | | | First Named Inventor | Bruce M. Horton |
| | | | | Art Unit | Not Yet Assigned |
| | | | | Examiner Name | Not Yet Assigned |
| Sheet | 1 | of | 1 | Attorney Docket No. | NYMX0001 |

| NON PATENT LITERATURE DOCUMENTS | | | |
|--|---------------------------------|--|----------------------|
| Examiner Initials* | Cite No.¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher, city and/or country where published | T² |
| /P.S./ | 1 | NEW YORK MERCANTILE EXCHANGE, "Exchange Announces Launch Plans for Monthly, Weekly, and Daily Electricity Futures Contracts," March 6, 2003, pp. 1-9, p. 18. | |
| /P.S./ | 2 | "Proposed NYMEX PJM Calendar-Month Daily-LMP Swap (PJM Interconnection, LLC) Contract, pp. 9-14 | |
| /P.S./ | 3 | S. STOFF, et al., "Primer on Electricity Futures and Other Derivatives," January 1998, pp. i-xvi, 1-41 | |
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| EXAMINER SIGNATURE | /Paul Shumate/ | DATE CONSIDERED | 12/10/2007 |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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